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ABSTRACT

This technical guide is a training tool to help members of Head Start governing bodies, policy groups, agency directors, and Head Start and Early Head Start directors understand their responsibilities in a Head Start environment that emphasizes shared decision-making. The guide offers a framework for clarifying expectations and provides concrete, practical information that can be used in the context of a local agency's unique history, issues, resources, and priorities. The guide contains the following modules: (1) "Understanding the Role of the Governing Body"; and (2) "Using the Tools of Governance in Shared Decision-Making." Both modules begin with activities to introduce the basic concepts; remaining activities are designed to allow all participants to clarify and practice skills. Each module contains "outcomes," "key concepts," and "background information." The final sections of the guide contain activities for participants to apply the skills learned to their own programs, and a list of about 52 annotated resources for further information on module topics. (EV)

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HEAD START®

Training Guides for the Head Start Learning Community

Fostering Program Governance

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U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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Preface

When we reviewed the Head Start Program Performance Standards, *we realized that we needed two written policies to add to our* Policy and Procedures Manual (PPM) *collection. Because we are so busy, we asked a facilitator to help us involve our governing body (the Board of County Commissioners [BCC]), Policy Council, and management staff in developing or improving our policies, including our processes for shared decision-making and resolving internal disputes.*

We thought the best way to involve a broad cross-section of our program was to hold several focus groups. The facilitator posed three questions for each focus group to address:

- *How do we practice shared decision-making?*
- *How can we do it better?*
- *How would we resolve any impasse between the BCC and the Policy Council?*

What we learned from these focus groups was interesting. The Policy Council and staff felt that the BCC was too removed from Head Start to participate in shared decision-making. It governs a large county and since our Head Start program is just one of many cogs in the wheel, we don't get their full-time attention. This was not as much of an issue for the delegate agencies, which have boards of directors that can focus on fewer programs than the county governing board can.

Ms. Kay, the director of our agency and the assistant county administrator for human services, made a suggestion to improve communications with the BCC. She said that some county programs make annual presentations to the BCC. They use videos or slides in their presentations and tell stories about people who benefit from the program. Ms. Kay suggested that Head Start give a presentation to the BCC. Following her suggestion, our PPM for shared decision-making calls for an annual workshop meeting for the BCC and the Policy Council to do just that.

Our first "show-and-tell" day with the BCC was a great success. The commissioners asked many questions and wanted to hear more from parents about how Head Start helps them. Several commissioners have promised to attend our Policy Council meetings to find out more about the issues and concerns brought before the council. We feel this is an excellent start to a relationship that will help us to share stories about our program, share resources, and, most important, share decisions.

—Based on the activities of a Head Start program in Florida

The individual members of governing bodies for Head Start agencies may be volunteers or may be elected. They may have oversight responsibilities for a number of projects, programs, and priorities. Head Start may be one of many competing programs that beckons the attention of the governing body.

Governing bodies must understand what each program under their jurisdiction expects of them. To clarify these responsibilities, the *Head Start Program Performance Standards* specify key tasks that members of Head Start governing bodies must perform. Managing these tasks for Head Start as well as additional programs requires creative leadership and a clear division of responsibilities between staff and the governing body.

In Head Start agencies, the governing body shares key decision-making activities with the Policy Council or Policy Committee. This concept of shared decision-making is unique to Head Start and is based on the assumption that the governing body is making key decisions about the agency and program and can, therefore, share some of these responsibilities.

Small agencies that have Head Start as the central or major program may find it easier to share decision-making with the policy group. However, large entities that operate numerous programs—with Head Start as a relatively small part—may find it more challenging to integrate decision-making into various levels of the organization.

To fulfill the Head Start governance mandates, including shared approval by both the governing body and the policy group, it is important to develop relationships and build bridges among all the decision-makers. This includes the policy group, the administrators, and the members of the governing body. Communication lines must be open and actively support partnerships among administrators, the policy group, and the governing body.

Fostering Program Governance is a training tool to help members of Head Start governing bodies, policy groups, Agency directors, and Head Start and Early Head Start directors understand their responsibilities in a Head Start environment that emphasizes shared decision-making.

Introduction

Overview

Purpose

This Technical Guide gives participants opportunities to acquire and apply the knowledge and the skills they need to successfully carry out their responsibilities as members of governing bodies for Head Start programs.

Governing bodies provide support and direction to guide organization administrators, executives, and managers. Effective Head Start governing bodies need to:

- Understand the concept of governance and how the roles associated with governance are distinguished from the roles associated with administration.
- Clarify their roles and responsibilities and how these roles and responsibilities relate to policy groups and agency and program managers.
- Recognize the basic procedures and systems that must exist to have well-functioning Head Start programs.
- Demonstrate effective shared decision-making with the appropriate Head Start policy groups.

Fostering Program Governance offers a framework for clarifying expectations to the organizations that receive Head Start funds and for guiding them in determining their responsibilities with respect to their Head Start programs.

Governing bodies are expected to serve as visionaries, policymakers, and organizational gatekeepers. The governing body ensures that the mission, vision, and values lead to achieving program and agency goals and objectives.

This Training Guide provides concrete, practical information that can be used in the context of a local agency's unique history, issues, resources, and priorities. The activities encourage participants to use their own agency's practices and procedures. Many types of governing bodies have assumed responsibility for Head Start and this Guide focuses on activities that have relevance as good business practices in all governance contexts.

Introduction

All of the discussion about governance focuses on the general responsibilities of agencies engaged in the delivery of Head Start services at the community level.

Outcomes

After completing this training, participants will be able to achieve the following outcomes:

- Describe the functions of governance.
- Define the relationship between the Head Start policy group and the governing body and the relationships among the governing body, policy group, and management staff.
- Assess the status of governance in their own organization.
- Examine how shared decision-making with the policy group is conducted in their organization.

Audience

The Guide is written for governing bodies of Head Start grantees and delegate agencies. It is also appropriate for policy groups (Policy Councils or Policy Committees), Executive directors, and Head Start and Early Head Start directors who provide support to and are participating in the governance process.

Performance Standards

The *Head Start Program Performance Standards* emphasize the need for governing bodies to:

- Develop, review, and approve or disapprove policies and procedures in partnership with the policy group.
- Design written policies that define the roles and responsibilities of governing body members and inform them of the management procedures and functions necessary to implement a high-quality program.
- Ensure that appropriate internal controls are in place to safeguard federal funds in accordance with Head Start regulations.
- Work with policy groups to establish written procedures for shared decision-making and for jointly resolving internal disputes—including impasse procedures—between the governing body and the policy group.

Organization

Fostering Program Governance contains the following modules:

- **Module 1:** *Understanding the Role of the Governing Body.*

- **Module 2:** *Using the Tools of Governance in Shared Decision-Making.*

Both modules begin with activities to *introduce* the basic concepts covered in each module (*Activity 1-1* in *Module 1* and *Activity 2-1* in *Module 2*). These activities are appropriate for participants who are not familiar with the concepts. The remaining activities in each module are designed to allow all participants to clarify and practice the skills. If there are time constraints and a basic overview is not needed, trainers conducting only workshops can limit sessions to *Activity 1-2* and *Activity 2-2*.

Each module includes *Outcomes, Key Concepts,* and *Background Information.* The module outcomes are based on the Guide outcomes. Each activity is designed to achieve one of the module outcomes. The *Key Concepts* section summarizes the main ideas contained in each module. These concepts are discussed more fully in the *Background Information* section. The trainer may choose to present the *Background Information* section as a mini-lecture, handout, or overhead in coaching or workshop sessions.

The *Next Steps* section includes activities for governing bodies, policy groups, Agency directors, and Head Start directors to use to apply the skills learned in each module to their own Head Start or Early Head Start programs.

The *Resources* section at the end of the Guide lists additional materials that may be consulted for further information on the module topics.

Notes to Trainer

1. To facilitate the activities in this Guide effectively, trainers and coaches are expected to have a comprehensive understanding of all *Head Start Program Performance Standards* and indepth experience with *Program Governance, Subpart D-Program Design and Management, 1304.50.*

2. Trainers are expected to adapt the activities in this Guide to meet specific needs of the audience, such as time constraints, literacy levels, and language requirements.

3. *Linking Our Voices,* the Head Start training program written primarily for policy groups, can be used as an orientation tool with governing bodies to explain the roles and responsibilities of policy groups. It can also be used to supplement the training in this Guide. (See entry under videotapes in *Resources* section of this Guide.)

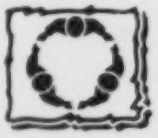
Introduction

Definition of Icons

Coaching

A training strategy that fosters the development of skills through tailored instruction, demonstrations, practice, and feedback. The activities are written for a coach to work closely with one to three participants.

Workshop



A facilitated group training strategy that fosters the development of skills through activities that build on learning through group interaction. These activities are written for up to twenty-five participants working in small or large groups with one or two trainers.

Next Steps: Ideas to Extend Practice

These are additional activities assigned by the trainer immediately following the completion of the module to help participants review key information, practice skills, and examine their progress toward expected outcomes of the module.

Continuing Professional Development

These are follow-up activities for the program to support continued staff development in the regular use of the skills addressed in a particular training guide. The activities include:

(1) Opportunities for the participant to continue building on the skills learned in the training.

(2) Ways to identify new skills and knowledge needed to expand and/or complement these skills through opportunities in such areas as higher education, credentialing, or community educational programs.

At A Glance

Module	Activity	Time	Materials
Module 1: Understanding the Role of the Governing Body	(W) Activity 1–1: Understanding All Governing Bodies	2 hours	*Handout 1: Establishing a Community Institution* *Handout 2: Note-Taking Guide for Scenario* *Handout 3: Responsibilities of Governing Bodies* *Handout 4: Documents and Instruments of Governing Bodies* *Handout 5: Using Key Documents* Chart paper, markers, paper, and pens Four sets of color-coded index cards (one card per participant)
	(W) Activity 1–2: Responsibilities of Governing Bodies in Head Start	2 hours	Extra copies of *1304.50, Subpart D-Program Design and Management*, pp. 158–174, and *Appendix A: Governance and Management Responsibilities*, pp. 175–177, from the *Head Start Regulations and Program Guidance for Parts 1304 and 1308* Chart paper, tape, and markers

Introduction

Module	Activity	Time	Materials
Module 1: Understanding the Role of the Governing Body (Continued)	(C) Activity 1–3: What Are the Major Responsibilities of Our Governing Body?	2 hours	Copies of the *Background Information* for *Module 1* *Handout 4: Documents and Instruments of Governing Bodies-* *Handout 5: Using Key Documents* Extra copies of *1304.50, Subpart D-Program Design and Management*, pp. 158–174, and *Appendix A: Governance and Management Responsibilities*, pp. 175–177, from the *Head Start Regulations and Program Guidance for Parts 1304 and 1308* Chart paper, tape, and markers Paper and pens
Module 2: Using the Tools of Governance in Shared Decision-Making	(W) Activity 2–1: What Is Shared Decision-Making?	90 minutes	*Handout 6: Wellspring Head Start Scenario* Chart paper and markers
	(W) Activity 2–2: Sorting Roles: Who Does What?	2 hours	*Handout 7: Sample Planning Calendar* Copies for each participant of *1304.50, Subpart D-Program Design and Management, Program Governance*, pp. 158–174, and *1304.50 Appendix A: Governance and Management Responsibilities*, pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308* Deck of cards as described in the Trainer Preparation Notes Chart paper and markers

Module	Activity	Time	Materials
	(C) Activity 2-3: Sharing in Decision-Making	90 minutes	Chart paper and colored markers for each participant *Handout 7: Sample Planning Calendar* Copies for each participant of *1304.50, Subpart D-Program Design and Management, Program Governance*, pp. 158–174, and *1304.50 Appendix A: Governance and Management Responsibilities*, pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308*

C = Coaching Activities
W = Workshop Activities

Module One

Understanding the Role of the Governing Body

Module 1

Understanding the Role of the Governing Body

Outcomes

After completing this module, participants will be able to:

- Identify the basic responsibilities of the governing body.
- Use the documents and instruments that create and maintain effective governing bodies.
- Relate the responsibilities of governance to the requirements in the *Head Start Program Performance Standards*.

Key Concepts

- Governing bodies must be clear about their obligation to represent the communities they serve as well as their responsibility as Head Start grantees to guide a quality program that effectively serves children and families.
- A governing body must understand the organizational mandates, legal documents, and other instruments that created the organization, and the processes and practices required to conform to them.
- In the world of nonprofit and public agencies, service to the public is not a strategy but an end in itself.[1] This underscores the need to have internal systems that ensure accountability, measure the effectiveness of programs, and determine whether the activities of the organization and its programs are geared toward the people who are eligible for its services.
- The *Head Start Program Performance Standards* clearly state the roles, functions, and responsibilities of governing bodies and policy groups in relation to the Head Start and Early Head Start programs. Effective governing bodies understand their own responsibilities as well as the responsibilities of the policy group, the Head Start and Early Head Start program directors, and the Agency director.

[1] Wolf, Thomas. *Managing a Nonprofit Organization*. New York, NY: Prentice Hall Press, 1990.

Module 1

Background Information

Governance is the tool that empowered groups use to create and shape their future. Governing bodies provide the support and direction that chart the course to that envisioned future.

The Constituency

The governing body of a Head Start organization is responsible for the stewardship—the legal and fiduciary oversight—of the organization. The empowered governing body exists on behalf of persons who are not seated at the governance table. The governing body represents the children and families that Head Start serves, the community and other stakeholders. (The mission of a particular Head Start organization may include serving constituencies other than Head Start-eligible families.)

Often, governing body members are appointed because they provide specific experience or the perspective of a particular group or segment of the organization's constituency. The entire governing body must be attuned to the issues and concerns of Head Start-eligible families in order to plan and oversee the delivery of quality services.

Public agencies that choose to serve as Head Start grantees often represent Head Start-eligible children and their families as well as larger constituencies that may include the entire population of a political jurisdiction (such as a city, county, or Indian tribe). In these situations, the public entity may need to take steps to assure that Head Start governance activities can be performed expeditiously. This may require designating a commission or some other entity within the public organizational structure to carry out these functions for the Head Start program. Such structures can provide the focus and specific attention that program planning and other governance activities require.

Governing bodies represent the people receiving the services, rather than the staff managing the program. The people receiving services and the larger community need access to the governing body as a means of holding the program and the agency accountable. Procedures for hearing and resolving community complaints must be established and implemented.

Major Responsibilities

The governing body is responsible for ensuring that the Head Start program operates effectively and responds to issues and concerns in the community. This means the organization must have internal systems to ensure accountability, measure the effectiveness of programs, and determine whether the organization's activities are focused on the Head Start-eligible population. It is important not to confuse the stewardship role of governance with the administrative role of management and staff. Governance refers to general and legal oversight and not to implementing day-to-day operations, which is the responsibility of management and staff.

In *Basic Principles of Policy Governance,* John Carver and Miriam Mayhew Carver describe four functions of governance. These functions, relevant to both public and private agencies that are funded to operate a Head Start or Early Head Start program, are described below from a Head Start perspective:

- **Create a process that leads to defining goals.**
- **Establish boundaries and limits that describe management's authority and responsibilities for implementing the Head Start program.**
- **Link with staff and assess staff and/or organizational performance to ensure that management and staff are moving toward program goals.**
- **Design governance processes to ensure that Head Start-eligible families are receiving quality services and that policies are being followed. The governing body must address broad values in these areas to fulfill its mandate.**[2]

Specific Responsibilities

Richard Ingram, in the National Center for Nonprofit Boards publication, *Ten Responsibilities of Nonprofit Boards,* and Edgar Stoesz and Chester Raber in *Doing Good better! How to be an Effective Board Member of a Nonprofit Organization* (see *Resources*) identify responsibilities of board members that are summarized below from a Head Start perspective:

- **Determine the purpose of the organization.**

  Organizations represent their constituents and exist for a purpose. Effective mission statements summarize the purpose of the organization. Each board member needs to understand and support the mission statement.

  In Head Start agencies, it is the responsibility of the governing body to work with the policy group and program staff to create the mission statement, understand and support it, and review it periodically for accuracy.

[2] Carver, John and Miriam Mayhew Carver. *Basic Principles of Policy Governance.* San Francisco, CA: Jossey-Bass Publishers, 1996.

- **Select the Executive director. Support and review her/his performance.**

  Governing bodies must reach consensus on the Executive director's job description and undertake a careful search process to find the most qualified individual for the position. At least annually, the governing body must evaluate the Executive director's performance and identify any areas that require improvement. In addition, a new focus or direction that will be used for the subsequent year's performance evaluation must be developed. *Head Start Program Performance Standards* require the governing body to approve the selections of the Head Start director as well.

- **Ensure that effective organizational planning occurs and that resources are available to implement planning goals and objectives.**

  As stewards of their organizations, Head Start governing bodies must actively participate in a strategic planning process with the policy group, program staff, and other community organizations. This process includes determining the program's philosophy and long-and short-range goals and objectives, and securing adequate resources for the agency to implement its goals and fulfill the mission.

- **Settle grievances from staff (when disputes cannot be resolved at lower levels of the organization).**

- **Resolve complaints from the community.**

  The governing body often serves as the court of appeals in grievances between management and other employees. The body establishes the policies and procedures that staff must follow. The governing body must ensure that there is a formal process that allows community residents to express concerns about the Head Start program. This process ensures that complaints are heard and resolved expeditiously.

- **Assess the performance of the governing body.**

  The first step a governing body must take to assess the performance of the organization is to evaluate its own performance in fulfilling its responsibilities. It must analyze its achievements and reach consensus on the areas that need improvement.

- **Determine new services and monitor ongoing programs and services.**

  The governing body is responsible for overseeing a process to assess the performance of the organization. It determines which programs and services are the most consistent with the organization's mission and monitors their effectiveness.

- **Act as liaison between the organization and the community.**

  The governing body is the organization's main link to the community. To be a successful liaison between the organization and the community, the governing body must clearly articulate the organization's mission, goals, and accomplishments to the community. In addition, it must get support from other key players in the community. If complaints from the community arise, the governing body's responsibility is to assure that those issues are resolved expeditiously.

  The community includes Head Start-eligible children and families, public and private community partners, the general public, and the media.

- **Safeguard the organization's assets.**

  As elected or appointed representatives of the community to watch over a federally funded program, governing body members must ensure that appropriate internal controls are established and implemented to safeguard the organization's assets.

- **Provide accountability to members.**

  Members of the governing body must strive to understand the expectations of the organization they oversee and communicate with its members. They will provide periodic reports about the agency's progress in an appropriate format.

The *Head Start Program Performance Standards* describe what is expected of a governing body operating a Head Start program. They clearly define how the governing body and policy group partner with program staff to ensure that high-quality services are provided to children and their families.

While the majority of organizations that administer Head Start are also engaged in other activities and programs in addition to Head Start, there is an expectation that the governing body and policy group will

carry out the policymaking responsibilities detailed in the *Head Start Program Performance Standards* as shared functions. Governing bodies are expected to share decision-making about program direction with the policy group, with support from the staff. They are also expected to hear and resolve community complaints about the Head Start program and develop (with the Head Start policy group) dispute resolution procedures for conflicts that arise between the two groups. The governing body can offer an opportunity for the groups and communities served by Head Start to have a voice in its governance. In this context, written procedures need to be adopted to ensure that there are consistent guidelines to aid decision-making.

Responsibilities of Each Member

Each member of the governing body has a set of responsibilities. Individual members must exercise the *duty of care* (meaning they must attend meetings, read material that is pertinent to making decisions, and carry out their duties in a reasonable and responsible manner). They are responsible for understanding the organization's policies and how services are implemented; staying abreast of developments that impact the organization; advocating for the organization, as well as informing others about it; suggesting nominees that could contribute to the organization and the governing body; adhering to conflict of interest and confidentiality policies; participating in programmatic and fiscal reviews of performance; and serving on committees and taking on special assignments that fit with their expertise.

Key Documents

It is also important that the governing body understand the legal documents and other instruments that created the organization and provide the tools for its maintenance. Several key documents and materials help governing bodies meet their responsibilities.

For all organizations, these include the annual report (if one is produced), the audit and financial statements, the strategic or long-range plan, organizational charts, and, for nonprofit agencies, articles of incorporation and bylaws. In addition, periodic reports of program and financial status are typically provided to the governing body. Other important documents include organizational brochures, newsletters, materials that describe the program and organization, and any published newspaper or journal articles about the organization.

In summary, each governing body must understand whom it represents, and the roles and responsibilities of the governing body and how to best represent the interests of its constituencies. This is key to ensuring that the governing body remains accountable to the children, families, and communities that its Head Start program serves.

Activity 1–1: Understanding All Governing Bodies

Purpose: In this activity participants are introduced to the roles and basic responsibilities of governing bodies.

Materials:

Handout 1: Establishing a Community Institution
Handout 2: Note-Taking Guide for Scenario
Handout 3: Responsibilities of Governing Bodies
Handout 4: Documents and Instruments of Governing Bodies
Handout 5: Using Key Documents
Chart paper, markers, paper, and pens
Four sets of color-coded index cards (one card per participant)

Trainer Preparation Notes:

1. Several days before the workshop, distribute *Handout 1: Establishing a Community Institution* and *Handout 2: Note-Taking Guide for Scenario* so participants can read them in advance.

2. Prepare and post the following questions on chart paper:

    1. *To what extent does the governing body in the scenario practice these responsibilities? Give examples.*
    2. *How can the members of the governing body improve how they handle these responsibilities?*

3. Prepare index cards in four different colors (or use white cards with four colors of ink) with the statements indicated below. Use these index cards to divide participants into groups. Prepare an equal amount of cards in each color, adjusting the number distributed to each group according to its size.

Blue cards:

1. *Determine the purpose of the organization.*
2. *Select the Executive director. Support and review her/his performance.*

Pink cards:

1. *Ensure effective organizational planning occurs and resources are available to implement planning goals and objectives.*
2. *Settle grievances from staff (when disputes cannot be resolved at lower levels of the organization).*
3. *Resolve complaints from the community.*

Orange cards:

1. *Assess performance of the governing body.*
2. *Determine new services and monitor ongoing programs and services.*

White cards:

1. *Act as liaison between the organization and the community.*
2. *Safeguard the organization's assets.*
3. *Provide accountability to members.*

Optional Training Format:

1. To meet diverse language and literacy needs, recite the scenario in *Handout 1* as part of the training session rather than asking them to read it on their own.

2. Use a guided discussion to identify the responsibilities of a governing body instead of the group activity in *Step 3*.

Introduce Activity

1. To emphasize the importance of program governance, introduce the activity with the following remarks :

- *Governance is the tool that empowered groups use to create and shape their future.*

- *The basic responsibilities researchers identify for governing bodies of all organizations apply to Head Start.*

State that the purpose of this activity is to discuss the roles and responsibilities of all governing bodies.

Read and Interpret Scenario

2. Refer to *Handout 1: Establishing a Community Institution* and *Handout 2: Note-Taking Guide for Scenario*. Tell participants to refer to the note-taking guide before re-reading the scenario. The note-taking guide may be useful in organizing the information contained in the scenario. After they finish reading the scenario and

organizing the information, convene the entire group for a discussion.

Referring to the scenario, ask:

- *What is your impression of the governing body in the scenario?*
- *How would you describe the constituency that it represents?*

Discuss Responsibilities of a Governing Body

3. Distribute the color-coded index cards. Divide participants into four groups by the color of the index card they receive. (If you have more than nine participants, some of them may need to share cards. If you have less than nine, some may need to address more than one card.) Explain that they are to discuss the activities of Children First (the program in the scenario) that address the board responsibilities on their cards, answering the following questions posted on chart paper:

   1. *To what extent does the governing body in the scenario practice these responsibilities? Give examples.*
   2. *How can the members of the governing body improve how they handle these responsibilities?*

   Distribute *Handout 3* for participants to use to help them answer the questions. Instruct each group to select a recorder and a facilitator for the small group discussion.

   When the small groups have completed the task, ask for a report from each one.

Discuss Documents

4. State that the responsibilities of governing bodies are also impacted by several key documents. Distribute and review *Handout 4: Documents and Instruments of Governing Bodies.*

   Explain that participants will work in the same groups used in the first exercise. Each group will play the role of a governing body and solve a problem related to an issue identified in a key document. Distribute *Handout 5: Using Key Documents,* assigning an issue to each group. Ask each group to select a facilitator to record responses.

   After 20 minutes, ask each group to explain their solutions.

Summarize

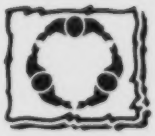
5. Summarize by discussing the following questions:

   - *What are some of the major responsibilities of a governing body?*
   - *Which documents or instruments tell the governing body whether the organization is operating in accordance with its mission and purpose?*
   - *How can a governing body ensure that the viewpoints and perspectives of the community stakeholders are heard?*

Conclude

6. Close by emphasizing that the governing body must understand its organizational mandates, the legal documents and other instruments that created the organization, and the processes and practices required to conform to those documents and instruments. In addition, they must be clear about their obligation to represent the interests of the community.

Activity 1–2: Responsibilities of Governing Bodies in Head Start



Purpose: The purpose of this activity is to review the responsibilities of a Head Start governing body as described in the *Head Start Program Performance Standards*. In addition, participants will consider how to carry out these responsibilities.

Materials:

Extra copies of *1304.50, Subpart D-Program Design and Management*, pp. 158–174, and *Appendix A: Governance and Management Responsibilities*, pp. 175–177, from the *Head Start Regulations and Program Guidance for Parts 1304 and 1308*.
Chart paper, tape, and markers

Trainer Preparation Note:

1. Make copies of *1304.50 Subpart D-Program Design and Management*, pp. 158–174, and *Appendix A: Governance and Management Responsibilities*, pp. 175–177, from the *Head Start Regulations and Program Guidance for Parts 1304 and 1308* for each participant.

   Distribute this section prior to the training so participants can review it in advance and bring any questions they have regarding the content to the workshop. Ask participants to bring these materials to the workshop.

2. Write and post the following questions on chart paper:

   1. *In your own words, explain the responsibilities of the governing body identified in your assigned category on chart paper. Put each responsibility on a separate sheet of paper.*
   2. *Give examples of how each responsibility is carried out in your program.*

Introduce Activity

1. State that this activity will focus on the responsibilities of a governing body in Head Start as described in the *Head Start Program Performance Standards*.

Explain that they will be able to see the similarities between the responsibilities that researchers have identified for all organizations that were discussed in *Activity 1–1* and the responsibilities for governing bodies that operate Head Start programs.

Tell participants that any questions they have regarding *Section 1304.50* of the *Standards* will be addressed during this activity. (Record and research the answers to any questions that cannot be answered during the training, and provide responses to participants after the workshop.)

Identify Functions

2. Briefly review *Section 1304.50*, pp. 158–174, *Subpart D-Program Design and Management*, identifying the major sections.

Review the format of *1304.50 Appendix A: Governance and Management Responsibilities*, pp. 175–177. Explain the key (A: General responsibility; B-Operating responsibility; C-Must approve or disapprove; and D-Determined locally) found on the last page.

Explain that the chart is a restatement of most of the *Standards* in *1304.50.* In addition, the functions on the chart are not always listed in the same sequence that they appear in the *Standards*. Pay particular attention to the definitions of item C-Must approve or disapprove.

Divide participants into three groups, with each group representing one of the three categories of functions described in *Appendix A: Planning Group, General Procedures Group,* and *Human Resources Management Group.*

Instruct participants to work with the other members of their group on the following assignment posted on chart paper:

1. *In your own words, explain the responsibilities of the governing body identified in your assigned category on chart paper. Put each responsibility on a separate sheet of chart paper.*

2. *Give examples of how each responsibility is carried out by the governing body in your program.*

Discuss Responsibilities

3. Ask each group to explain the charts they have prepared. After each explanation, ask the participants in the other two groups for additional examples of how the responsibility is carried out in their program. Add these additional examples to the chart paper.

Explain that it is important to understand the connection among all the individuals and groups described on the chart. Tell participants that *Module 2* will focus on shared decision-making.

Discuss any questions that participants brought to the workshop about the governing body's responsibility that relate to *Section 1304.50.* State that issues related to policy group functions will be discussed in *Module 2.* Discuss the requirement that the governing body and policy group must be consulted on all items that they must approve. This consultation must occur before either group acts to approve or disapprove. Establish a link between the definition (the actions cannot be taken until agreement is requested) and the internal dispute resolution process that is required *(1304.50(h)).*

Discuss Challenges

4. Ask:

   - *What challenges does this governing body face in carrying out these responsibilities?*

- *What can you begin to do to overcome these challenges?*

List suggestions on chart paper.

Develop Group Action Plan

5. Working with the group, develop an action plan to overcome these challenges. For each suggestion, list tasks to perform, individual(s) responsible for performing each task, and a projected date for completion. Establish a process for evaluating the success of the action plan and, if necessary, revising it.

Conclude

6. Conclude with the following statements:

   - *The* Head Start Program Performance Standards *clearly state the roles, functions, and responsibilities of the governing body.*
   - *It is important to recognize that a governing body represents both the people receiving services and other constituents, including the staff managing the program.*
   - *Members of an effective governing body understand their own responsibilities as well as the responsibilities of the policy group, Head Start program director, and the Agency director. They strive to overcome the challenges involved in implementing their responsibilities.*

Activity 1–3: What Are the Major Responsibilities of Our Governing Body?

Purpose: Participants will identify the key roles and responsibilities of governing bodies and relate these responsibilities to the activities of the governing body in their own program.

Materials:

Copies of the *Background Information* for *Module 1*
Handout 4: Documents and Instruments of Governing Bodies
Handout 5: Using Key Documents
Extra copies of *1304.50, Subpart D-Program Design and Management* and *Appendix A: Governance and Management Responsibilities*
Chart paper, tape, and markers
Paper and pens

Trainer Preparation Notes:

1. Make copies of the *Background Information* for each participant.

2. Make copies of *1304.50 Subpart D-Program Design and Management*, pp. 158–174, and *Appendix A: Governance and Management Responsibilities*, pp. 175–177, from the *Head Start Regulations and Program Guidance for Parts 1304 and 1308* for each participant.

   Distribute these materials prior to the training so participants can review them in advance and bring any questions they have regarding the content to the workshop. Ask participants to bring the materials to the workshop.

Introduce Activity

1. Write the following question on chart paper:

   Why is the Head Start governing body important?

   Seek responses. Avoid discussing the validity of each response.

   Explain that this activity will focus on identifying the major roles and responsibilities of a governing body and how these responsibilities apply to Head Start.

Identify Responsibilities

2. Distribute a copy of the *Background Information* to each participant. Ask them to read the *Background Information* and underline the major responsibilities of a governing body.

   Discuss the major responsibilities they identify, listing each one on a separate sheet of chart paper. Include the responsibilities of individual members of the governing body. Post each sheet of chart paper on the wall.

   Ask the participants to read all the responsibilities posted on the chart paper.

***Relate Responsibilities to* Standards**

3. Explain that the discussion will now focus on their own governing body and examples of how it implements the major responsibilities listed on the chart paper. State that while the listed activities were identified by researchers as applying to nonprofit organizations, they are relevant to all agencies that operate Head Start programs.

State that examples can be found in the section of the *Standards* that describes the responsibilities of governing bodies. Refer to *Section 1304.50, Subpart D-Program Design and Management* and *1304.50 Appendix A: Governance and Management Responsibilities*. Ask participants to review the list of responsibilities and find examples that apply to the responsibilities they listed on the chart paper.

For example, for the responsibility "Ensure effective organizational planning occurs and resources are available to implement planning goals and objectives," note the general responsibility and approval authority under planning on the chart in *Appendix A (b) 1304.50(d)(1)(iv)*, approve the program's philosophy and long- and short-range program goals and objective and *1305.5(d)(1)(i)*, which requires approval of all funding applications. The latter is the major source of resources for implementing the Head Start program.

Discuss responses.

Reflect on Challenges

4. Distribute paper and a pen to each participant. Ask participants to review the responsibilities from the *Standards* and identify the two that they feel are the most challenging to implement.

   Ask participants to list the challenges they will face when implementing these responsibilities.

Reflect on Documents

5. Distribute *Handout 4: Documents and Instruments of Governing Bodies*. Give participants several minutes to read it. Discuss the documents described, emphasizing the ones that are significant to their own program/organization.

   Distribute *Handout 5: Using Key Documents*. Discuss the problems under each issue, brainstorming possible solutions.

   Based on the problems under the issues and their own experiences, ask each participant to review *Handout 4* and list at least two documents that they feel they use effectively.

   Next, ask the group to list two documents or instruments that they would like to learn more about.

   Work with the group to develop a strategy for sharing information on the documents with which they are familiar and to enhance the knowledge of all members.

Conclude

6. Close by emphasizing that the governing body must understand its organizational mandates, the legal documents and other instruments that created the organization, and the processes and practices required to conform to these documents and instruments. State that each member of the governing body has a responsibility to support the work of the organization.

Next Steps: Ideas to Extend Practice

The following activities can help participants apply the concepts discussed in this module to their own programs.

- **Observe other governing bodies and policy groups.**

  Ask each member of the governing body to observe at least one other governing body in the community. Recommend that they note how the organization is structured, its major responsibilities, how they conduct meetings, and how they develop policies and procedures to maintain effective governance.

- **Organize a staff presentation for the governing body.**

  Arrange for the Head Start director and staff to give a presentation to the governing body. Ask Head Start coordinators to explain the activities they perform and the challenges that they encounter. Encourage staff to use varied techniques in the presentation; for example, they may develop skits or role plays, or show a video that demonstrates their activities. Plan for a question-and-answer period at the end of the presentation. At the conclusion of the presentation, discuss a schedule for continuing the process of updating the governing body.

- **Conduct a board self-assessment.**

  It is important for a governing body to evaluate how it operates and what it is accomplishing. Develop a self-assessment instrument or use one that is available. Gather data to answer the following questions:

  1. *How effectively does the governing body participate in the visioning process?*
  2. *Are the boundaries between staff and governance/policymaking functions clear and understood?*
  3. *Has the governing body assessed the performance of the Agency director?*
  4. *Does the governing body know whether goals and objectives are being accomplished?*
  5. *Do governing body members represent the agency/program in the larger community?*

To help answer these questions, collect information on specific topics. For example, topics may include the orientation of new members, the relationship of the governing body to the Executive director, governing body activities related to approving the mission, plans, and goals or activities related to finances and the performance of managers, and the effectiveness of board meetings.

Ask governing body members to complete the assessment instrument on their own and return it to a designated person at a specified time. Tabulate, summarize, reproduce, and distribute the results to the members. Arrange a meeting to discuss the issues that emerged from the assessment, place them in order of priority, and assign follow-up activities.

Examples of board assessment tools can be found in the books *Doing Good better! How to be an Effective Board Member of a Nonprofit Organization* by Edgar Stoesz and Chester Raber, *The Board Self-Assessment Guide* from the Carver Guide Series on Effective Board Governance by John Carver, and *Boards at Work: How Corporate Boards Create Competitive Advantage* by Ram Charan (see *Resources* in this Guide for a description of these publications).

Handout 1: Establishing a Community Institution

In spring 1986 the Child Care Task Force of York County convened its first discussion panel to address issues involving working mothers and employer-supported child care. Nancy Morse remembers all the hard work she and a small group of community people undertook in convening that meeting. For the next year, the Task Force of about fifteen interested members met once a month on a volunteer basis to study the issues and collect information on the needs of children, families, and employers. Representatives from local businesses, the county government, and various local early care and education providers attended the meeting.

After much encouragement from the community, the Task Force decided to incorporate as a nonprofit organization named Children First, Inc., for the purpose of working with parents and employers to resolve issues facing working parents who need child care. Nancy presided over the organizational meeting and was elected as the first president. A vice president, secretary, and treasurer were also elected, and a Task Force member, Marilyn, agreed to become the interim Executive director.

The year spent as a Task Force was a time for scanning the environment, looking for trends, and developing a vision that would best meet the needs of the target population: working parents, their children, the child care provider community and local employers. Members considered many options such as opening child care centers at employers' work sites, establishing sick child care and night child care centers, and creating a family child care satellite model.

They now needed to refine the vision into specific goals for the new organization. A weekend planning session was held for the purpose of setting the organization's mission and defining goals. The officers spent the next several months developing the articles of incorporation, and applied for a 501(c)(3) exemption.

During that time, Marilyn learned as much as she could about starting and operating a comprehensive child care program that is responsive to children, families, and employers. Marilyn was working part time for the first six months and the Board established what she was authorized to do. As president, Nancy supervised Marilyn's activities and approved any commitment of funds. Nancy, Marilyn, and other Task Force members accepted many speaking engagements in the community; attended meetings, seminars, and training events; and visited other agencies to learn about "best practices."

As funding commitments became established, the treasurer opened a bank account and worked with Marilyn to create a budget and chart of accounts. The board approved an auditing firm to oversee the organization's financial start-up process. There were state funds from the Child Care and Development Block Grant to manage a subsidized child care program in York County and other funds from the State Department of Education to manage a Child Care Food Program for family child care providers.

Handout 1: Establishing a Community Institution *(continued)*

In addition, a national Child Care Resource and Referral network based in Boston provided funding. Several local businesses entered into contracts with the agency to help their employers locate and evaluate child care providers.

At this point, staff could be hired to help Marilyn. This meant more work for the Board such as developing personnel policies, an organizational chart, hiring practices, job descriptions, salary levels, and employee benefits. Nancy set up committees to work on the various needs of the growing agency. Marilyn worked with committees when the board members that chaired them requested her assistance. Lines of communication and authority were established for all proposed staff positions; board members participated in the hiring process with Marilyn. Marilyn continued to be the liaison between the staff and board. Each committee would write a monthly report to the board.

After the first year, a second retreat was planned. Its focus was assessing performance after the first year with full staffing and establishing a more formalized planning process. All staff members were asked to participate. Marilyn shared information on evaluations that she had conducted as prescribed in the personnel policies with the personnel committee. The personnel committee conducted an evaluation of Marilyn's performance as Executive director and reported recommendations for staff salary increases to the full board. In addition to assessing staff performance, Nancy asked each committee to report on its assessment of the various components of the organization—financial, marketing, and strategic planning—and the extent of customer satisfaction.

More than a decade later, Children First, Inc., remains an important community agency serving low-income working parents and their children. Last year, the agency received funding to operate an Early Head Start program. Under the leadership of the current president who works for the County Cooperative Extension service, there are many new programs and initiatives for families and child care providers. Together with the County Head Start program and the local chapter of the National Association for the Education of Young Children, a resource lending program was established. An annual career development and training conference is open to all child care providers and early child care staff in the county.

The board continues to be very active and involved in the oversight of the agency. During monthly meetings, the board reviews relevant financial information to determine if action plans are progressing satisfactorily, reviews personnel actions, reviews and approves plans for new programs or grant applications, and participates in community awareness campaigns on behalf of the families and the providers served.

Handout 2: Note-Taking Guide for Scenario

As you read the scenario, look for answers to these questions:

Who participated in the Child Care Task Force?

What steps or activities did the Task Force engage in the first year?

When the Task Force became a board, what changed in the relationship between Nancy (President) and Marilyn (Executive Director)?

How did the board maintain links with staff?

How did the board assess performance?

What policies and procedures did the board establish?

Handout 3: Responsibilities of Governing Bodies*

- **Determine the purpose of the organization.**

  Organizations represent their constituents and exist for a purpose. Their purpose should be summarized in the organization's mission statement. Each board member should understand and support the mission statement.

  In Head Start agencies, it is the responsibility of the governing body to work with the policy group and program staff to create the mission statement, understand and support it, and review it periodically for accuracy.

- **Select the Executive director. Support and review her/his performance.**

  Governing bodies must reach consensus on the Executive director's job description and undertake a careful search process to find the most qualified individual for the position. At least annually, the governing body must evaluate the Executive director's performance and identify any areas that require improvement. In addition, a new focus or direction that will be used for the subsequent year's performance evaluation must be developed. *Head Start Program Performance Standards* require the governing body to approve the selections of the Head Start director as well.

- **Ensure effective organizational planning occurs and resources are available to implement planning goals and objectives.**

  As stewards of their organizations, Head Start governing bodies must actively participate in a strategic planning process with the policy group, program staff, and other community organizations. This process includes determining the program's philosophy and long-and short-range goals and objectives, and securing adequate resources for the agency to implement its goals and fulfill the mission.

- **Settle grievances from staff (when disputes cannot be resolved at lower levels of the organization). Resolve complaints from the community.**

  The governing body often serves as the court of appeals in grievances between management and other employees. The body establishes the policies and procedures that staff must follow. The governing body must ensure that there is a formal process that allows community residents to express concerns about the Head Start program. This process should ensure that complaints are heard and resolved expeditiously.

* Adapted from materials produced by the National Center for Non-Profit Boards, Washington, D.C., and *Doing Good better! How to be an Effective Board Member*, Edgar Stoesz and Chester Raber, Good Books, Intercourse, PA, 1997.

Handout 3: Responsibilities of Governing Bodies *(continued)*

- **Assess the performance of the governing body.**

  The first step a governing body must take to assess the performance of the organization is to evaluate its own performance in fulfilling its responsibilities. It must analyze its achievements and reach consensus on the areas that need improvement.

- **Determine new services and monitor ongoing programs and services.**

  The governing body is responsible for overseeing a process to assess the performance of the organization. It determines which programs and services are the most consistent with the organization's mission and monitors their effectiveness.

- **Act as liaison between the organization and the community.**

  The governing body is the organization's main link to the community. To be a successful liaison between the organization and the community, the governing body must clearly articulate the organization's mission, goals, and accomplishments to the community. In addition, it must get support from other key players in the community. If complaints from the community arise, the governing body's responsibility is to assure that those issues are resolved expeditiously.

  The community includes Head Start-eligible children and families, public and private community partners, the general public, and the media.

- **Safeguard the organization's assets.**

  As elected or appointed representatives of the community to watch over a federally funded program, governing body members must ensure that appropriate internal controls are established and implemented to safeguard the organization's assets.

- **Provide accountability to members.**

  Members of the governing body must strive to understand the expectations of the organization they oversee and communicate with its members. They should provide periodic reports about the agency's progress in an appropriate format.

Handout 4: Documents and Instruments of Governing Bodies

- ***Annual Report:*** A document often used as an informational and public relations tool by an organization. It contains the year's program and financial highlights and may be distributed at the annual meeting. Many public agencies are required to produce annual reports.

- ***Audit Report:*** A document produced from a review of an organization's finances. Head Start agencies are required to have an annual independent audit. Although it primarily focuses on financial procedures, managerial and program areas are also examined.

- ***Strategic or Long-Range Plan:*** A long-range plan or blueprint to set direction for an organization, including its goals, objectives, strategies, and staff action plans. The process of developing this plan is an important function of governance.

- ***Periodic Reports of Financial and Programmatic Status:*** Written reports that inform governing bodies about what is happening with programs and services within the organization. These include periodic financial reports (usually monthly or at every meeting of the governing body). Staff must establish ongoing monitoring processes in order to provide adequate fiscal and program reports.

- ***Articles of Incorporation:*** A legal form registered with the state that defines the purpose and scope of the organization.

- ***Charter/Ordinance:*** A state statute or other legal process that establishes public entities.

- ***Proof of Nonprofit Status:*** A legal document from the Internal Revenue Service that certifies if an organization is incorporated as a tribal or local government, an educational institution, or another charitable or religious organization. Agencies with Head Start programs typically have nonprofit status.

- ***Bylaws:*** A document that determines the structure, function, and rules of the governing body. By-laws are written and approved by the governing body.

- ***Provisions Developed by a City, County or Other Public Jurisdiction:*** A document that determines the structure, function, and rules of the governing entity. In public agencies the rules require formal legal action by voters or by the public entity itself in order to make changes.

Handout 5: Using Key Documents

DIRECTIONS

Read the section assigned to you. Use the organization's documents to reveal issues that the board must address. Several items show how interrelated issues can be. For the issue you have been assigned, answer the following question:

What role, if any, should our board have in resolving this issue?

Issue One

The **Annual Report** indicates that the agency did not serve as many families in the Head Start/Child Care Collaboration as originally planned. As a result, the agency could not capture the level of reimbursements that were planned. In addition, the agency supported the collaboration initiative at a higher cost than proposed. The agency planned to serve 100 families in its full-day program but was able to serve only a total of 50.

Issue Two

The **Audit Report** indicates that the agency overspent its Head Start budget. The overspending was due to its inability to capture the planned reimbursement for child care in the full-day program.

Issue Three

A review of the **Strategic Plan** indicates that one proposed objective was to expand the full-day service program over the next 3 years from 100 to 300 participants. However, self-assessment and ongoing monitoring have shown that families with vouchers are choosing relative and other care instead of center-based care.

Issue Four

A review of attendance at board meetings over the past 2 years indicates that the agency has had to remove five board members; several others have exceeded the three-meeting absence rule in the **Bylaws,** although no action has been taken to remove those members.

Module Two

Using the Tools of Governance in Shared Decision-Making

Using the Tools of Governance in Shared Decision-Making

Outcomes

After completing this module, participants will be able to:

- Assess current governance practices in their organization.
- Determine how well governance is shared with the Head Start policy group.
- Work in partnership with policy groups, program leaders, and staff to establish procedures for a governance structure.

Key Concepts

- Strong governing bodies are aware that they are only one part of an integrated whole. They understand that to implement a high-quality Head Start program, they must work in partnership with the policy group and program leaders.
- In order to share governance responsibilities with the policy group, the governing body must have procedures and responsibilities for a formal structure of governance.
- Once the major responsibilities of the governing body are understood, it is important that this organization and the Head Start policy group describe how they will share the decision-making processes prescribed in the *Head Start Program Performance Standards*.
- The governing body's relationship to the policy group has many facets: mentor, coach, partner, and peer. When viewed and used appropriately, these relationships help the organization achieve its goals and objectives.
- In Head Start, the concept of shared governance applies to both grantees and delegate agencies. Although some initial strategic planning must be done solely by the grantee, all other planning activities required by the *Head Start Program Performance Standards* apply to both grantees and delegates. The only exception is the selection of delegate agencies, which is reserved for the grantee's governing body and policy group.

Module 2

Background Information

The *Head Start Performance Standards* related to governance reflect the responsibilities of the governing body. As described in *Module 1*, the major responsibilities of governing bodies are:

- **Create a process that leads to defining goals.**
- **Establish boundaries and limits that describe management's authority and responsibilities for implementing the Head Start program.**
- **Link with staff and assess staff and/or organizational performance to ensure that management and staff are moving toward the goals that have been adopted.**
- **Design governance processes that ensure that Head Start-eligible families are receiving quality services and that policies are being followed. The governing body must address broad values in these areas to fulfill its mandate.**

When performing these responsibilities, governing bodies are expected to seek opportunities for creative partnerships with the policy group and staff. The *Head Start Program Performance Standard* that establishes a foundation for how these groups will relate requires the development of written procedures that describe how the governing body and the policy group will implement shared decision-making. Both bodies participate in developing and approving these procedures.

Agencies that have effective operating systems are able to identify how different parts of the organization—board, policy group, leaders/managers, and other staff—affect and play a role in each system. In this Guide, we focus primarily on the roles of the governing body and policy group in agency systems. We also address the importance of staff support and the need for clear descriptions of roles, particularly for shared decision-making.

The *Head Start Program Performance Standards* have identified management systems that each agency operating a Head Start or Early Head Start program must develop and maintain. Among these systems are governance, planning, communication, record-keeping and reporting, ongoing monitoring, self-assessment, human resources, and fiscal management. The governance system relates directly to the roles and responsibilities of the governing body and policy group. The governance system is dependent on and is an integral part of each of the other systems.

The following discussion explains how the process of shared decision-making between the governing body and the policy group relates to the major responsibilities of a governing body.

Examples of Shared Decision-Making

Shared decision-making in planning is required in the *Head Start Program Performance Standards*. While it is common for the board and staff to share the responsibilities for planning in most organizations, in Head Start organizations this process is also shared with the Head Start Policy Council or Policy Committee. The Planning section of the *Governance and Management Responsibilities Chart (Appendix A)* in the *Head Start Program Performance Standards* specifies that the governing body and the policy group must jointly approve the majority of products that result from agency planning.

Planning

Planning process in Head Start includes developing such products as a procedure for planning a philosophy for the program (if one does not already exist), goals, objectives and strategies, operational plans and procedures for monitoring ongoing operations and assessing and program impact. (See the Technical Guide in the Management Series *Planning and Reviewing for Success* for a description of this process.)

The governing body and policy group must understand and agree on the planning activities that they need to perform and the timeframes for conducting these activities. Therefore, the first critical planning step is to establish how and when planning activities will occur—a procedure for planning. Because staff cannot commit either body to carry out these functions, the two groups must agree on the procedure before it is implemented. The governing body and the policy group must be consulted about any item that requires their approval during the developmental process and before approval is sought. It is imperative that the planning process describes not only when approval will occur but also when prior consultation and involvement in each planning activity will occur.

Monitoring and Assessing Performance

The governing body is responsible for ensuring that the program is meeting its goals and objectives. The *results* of ongoing monitoring of both program and fiscal activities provide information for the governing body and policy group to keep them appraised of program progress. The annual self-assessment *results* describe accomplishment of program goals and objectives and outcomes for children as well as proposals to correct any identified problems.

Addressing Human Resources

The *Human Resources Management Section* of the *Head Start Program Performance Standards* states that the governing body and the policy group must approve personnel policies and decisions to hire or terminate the Head Start or Early Head Start director. The policy group does

not carry the legal and fiscal responsibility for the agency as the governing body does; consequently, the governing body may be far more involved in determining personnel policies to assure that risk to the agency is minimized. These policies form the basis of an agency's human resources system.

Setting Staff Boundaries and Limits

For all of the items that require shared approval by the policy group and the board, it is imperative that the role of staff in each item be clearly described and agreed to. In addition to the limits personnel policies place on staff, other limits or boundaries are needed to help staff understand expectations. For example, if the procedure for planning is to be initiated by staff as a draft working paper for the board and the policy group, the timeframe for receiving and acting on the draft as well as completing approvals ought to be detailed in the procedure for planning.

Boundaries for staff are needed in numerous areas. An example is the amount of flexibility staff have in making changes to the budget (which may also require changes in work plans to be detailed in agency procedures). This and other policies and directives should be part of the procedures that are adopted for governance. If a staff boundary or limit affects an area that is covered by shared decision-making, then the boundary must be approved by both groups. For example, the director has discretion to move the established percent of a budget category without the prior approval of the governing body and the policy group. The established percentage becomes the boundary that staff must follow.

Designing Governance Processes

There are three very important aspects of designing governance processes and procedures that are shared between the policy group and the governing body.

The first is to ensure that there are clearly written procedures for each item that requires shared decision-making. Because many of the individual items are part of the ongoing systems of the agency, it is imperative that policymakers (policy group and governing body) understand how action on one item must be taken before action on others can occur. For example, the funding application is not developed before goals and objectives have been adopted. Procedures must be established using the "givens" that the agency must respond to, including the cycle of funding for the Head Start program.

The roles of agency leaders and staff are an integral part of the written procedures. For example, if the governing body and policy group expect staff to present their analysis of community issues and concerns from the Community Assessment (CA) as the preliminary information

for establishing goals, this needs to be described in the procedures and timetable for planning. The activities staff perform as support to the governing body and policy group help to clarify how the systems of the organization function.

The second consideration when designing a governance system is the need for a procedure to resolve disputes between the governing body and the policy group. The dispute resolution process must be developed and approved by both the governing body and the policy group. The process must describe when an impasse exists and how the process is activated. The procedure is required in the event that there is a dispute between the two bodies. Many agencies are able to avoid such conflicts if their procedures for shared decision-making are supported by a good communication system that provides thorough and timely information to both groups. In addition to quality information, both groups must respect and support the shared decision-making process.

The third consideration when designing governance procedures is to assure that a procedure for hearing and resolving community complaints about the program exists. Both the governing body and the policy group are given operating responsibility for developing **and** implementing the community complaint procedure. This procedure allows both bodies to hear about issues that arise from within the community and to ensure that steps are taken to respond in a timely and thorough manner.

Integrating Governing Body and Policy Group Membership

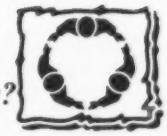
Open communication and access to information are important ingredients of shared decision-making. Many programs enhance communication between the groups by having at least one representative from the governing body serve on the policy group and at least one representative from the policy group serve on the governing body. In public agencies for which governing body membership is limited to elected members, other solutions, such as board and policy group liaisons, may help to accomplish similar results.

Exchanging members has many advantages. Each group stays abreast of what the other is doing. Relationships develop that help to personalize and demystify the groups and their members. Cooperation is fostered as relationships develop, making it easier to face challenging decisions. Most important, the two groups are better able to link their procedures when there is a linkage between the membership of the two groups.

To accomplish this purpose, it is necessary to define how the two groups relate to each other.

In summary, the governing body and the policy group are always operating with a common purpose: to improve the lives of children and families. Both groups are important contributors to the Head Start program in their community. They are both interested in making the best decisions they can for the benefit of the program and the families served. They are both parts of the systems that integrate many facets to deliver high-quality services to eligible children and families.

Activity 2–1: What Is Shared Decision-Making?



Purpose: Participants use a scenario to identify how a governing body, a policy group, and agency leaders are involved in addressing a critical issue to introduce the concept of shared decision-making in Head Start.

Materials:

Handout 6: Wellspring Head Start Scenario
Chart paper and markers

Introduce Activity

1. State that shared decision-making is a process that requires continuous communication among the governing body, policy group, Agency director, and Head Start director. In addition, these organizations need to understand the responsibilities that each of them has in making a Head Start program work.

   Explain that the purpose of this activity is to have participants apply their understanding of how a Head Start governing body, a policy group, and an agency's management staff work together. They will need to determine how shared decision-making might be implemented in the situation described in the scenario.

Review Scenario

2. Divide participants into groups of four to six persons and distribute *Handout 6: Wellspring Head Start Scenario*. Read the questions at the end of the scenario to the group, asking participants to focus on how to answer the questions as they hear the scenario.

   Read the scenario to the participants or ask them to read it individually, depending on their literacy and language skills.

Analyze Scenario

3. Distribute chart paper and markers to each group. Explain that a member of each group is to act as a facilitator and lead a discussion to answer the questions on *Handout 6*, recording responses on the chart paper. Allow 30 minutes for the groups to complete this activity.

   Assemble all the participants and discuss each group's responses to the questions. After all the responses have been given, ask if the

groups think Wellspring wants to implement shared decision-making if it is funded for Head Start services.

Conclude

4. Conclude with the following key points:

   - *Shared decision-making is both an opportunity and a mandate for governing bodies and policy groups in Head Start agencies.*
   - *To effectively implement shared decision-making, members of governing bodies, policy groups, and agency management teams need to:*
     - *Adopt a holistic view of all systems of program design and management.*
     - *Understand how these systems are integrated to assure implementation of all* Head Start Program Performance Standards.

Activity 2–2: Sorting Roles: Who Does What?

Purpose: Participants will use the *Head Start Program Performance Standards* to describe the responsibilities of the governing body and how these responsibilities relate to those of the other decision-making organizations in Head Start.

Materials:

Handout 7: Sample Planning Calendar.
Copies for each participant of *1304.50, Subpart D-Program Design and Management, Program Governance,* pp. 158–174, and *1304.50 Appendix A: Governance and Management Responsibilities,* pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308*
Deck of cards as described in the Trainer Preparation Notes
Chart paper and markers

Trainer Preparation Notes:

1. Make copies for each participant of *1304.50, Subpart D, Program Design and Management, Program Governance,* pp. 158–174, and *1304.50, Appendix A: Governance and Management Responsibilities,* pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308.*

2. Write the following questions on chart paper:
   1a. What responsibilities do the governing body and policy group have for making decisions for this function?
   1b. How do they carry out these responsibilities in our program?
   1c. What do they need to do to overcome the challenges they face?
   2a. What responsibilities do the Agency director and Head Start director have for this function? How can they support the governing body and policy groups in making decisions for this function?
   2b. How do they carry out these responsibilities in our program?
   2c. What do they need to overcome the challenges they face?

3. To prepare the following nine cards, use a red marker to write the number for each *Head Start Program Performance Standard* listed below, one number per card*:

   1304.50(d)(1)(iii)
   1304.50(d)(1)(iv)
   1304.50(d)(1)(I)
   1304.50(d)(1)(vi)
   1304.50(g)(1)
   1304.50(d)(1)(ii)
   1304.50(h)
   1304.50(d)(1)(ix)
   1304.50(d)(1)(x)

To prepare the following four cards, use a blue marker and write the number of *HSPPS* listed below, one per card*:

1304.50(d)(1)(vii)
1304.50(f)
1304.50(d)(1)(viii)
1304.50(d)(1)(xi)

To prepare the following three cards, use a green marker and write the number of each *HSPPS* listed below, one per card*:

1304.50(g)(1)
1304.50(d)(2)(v)
1304.50(g)(2)

* Colored index cards can also be used.

Introduce Activity

1. State that strong governing bodies understand that they are one part of an integrated whole. Emphasize that effective governing bodies understand that to implement and guide high-quality Head Start programs they must work in partnership with policy groups and program leaders.

   Explain that governing bodies are expected to seek opportunities for creative partnerships with the policy group and program leaders while carrying out their responsibilities.

   Tell participants that this activity will give them an opportunity to identify how the *Head Start Program Performance Standards* explain the ways that the governing body, policy group, and program leaders share in the decision-making process.

Discuss Shared Decision-Making

2. Begin with an example of shared decision-making. Distribute and discuss *Handout 7: Sample Planning Calendar.*

Review Standards

3. Distribute and review *1304.50, Subpart D-Program Design and Management, Program Governance,* pp. 158–174, and *1304.50 Appendix A: Governance and Management Responsibilities,* pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308.*

   Note the four entities listed at the top of the chart in *Appendix A:* the governing body, the Policy Council or Policy Committee, the Head Start Program director, and the Agency director for a grantee

agency; for a delegate, all of these entities except the Policy Committee. Review the definitions given to the letters A, B, C and D (see p. 21, *Module 1*) to determine the governance and management responsibilities for each entity. Explain that although the chart does not include all the requirements, it is still a good tool for reviewing shared decision-making.

Explain that participants will use a deck of cards in this activity. Each card lists a number of one of the management and governance functions from the *Head Start Program Performance Standards*. Their first task is to answer the questions posted on the chart paper for the functions described on their cards.

4. Deal the cards so that everyone has at least one. (If there are more than 16 participants, pair them as needed to share cards. If there are less than 16 participants, they may have more than one.) Ask participants to locate the standard identified on their cards in the text of the *Guidance for 1304.50* and *Appendix A* to *1304.50*, read the information, and record their responses to the questions posted on chart paper:

   1a. What responsibilities do the governing body and policy group have for making decisions for this function?

   1b. How do they carry out these responsibilities in our program?

   1c. What do they need to overcome the challenges they face?

   2a. How do the Agency director and Head Start director support this function?

   2b. How do they carry out these responsibilities in our program?

   2c. What do they need to overcome the challenges they face?

   Ask the participants holding cards with red ink to answer the questions for the *Standards* on their cards. Encourage other participants to help answer the questions. Follow the same procedure for participants holding cards with blue and green ink.

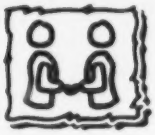
Conclude

5. Point out any new insights that participants had during the exercise.

   Suggest that participants continue this discussion by meeting to develop an action plan to overcome the challenges the governing

body, policy group, Agency director, and Head Start director face in implementing shared decision-making in their program.

Activity 2–3: Sharing in Decision-Making



Purpose: Participants will use the *Head Start Program Performance Standards* to describe the shared decision-making responsibilities of responsibilities of the governing body and how these responsibilities relate to policy group and agency leadership.

Materials:

Chart paper and colored markers for each participant
Handout 7: Sample Planning Calendar
Copies for each participant of *1304.50, Subpart D-Program Design and Management, Program Governance*, pp. 158–174, and *1304.50, Appendix A: Governance and Management Responsibilities*, pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308*

Trainer Preparation Notes:

1. Make copies for each participant of *1304.50, Subpart D-Program Design and Management, Program Governance*, pp. 158–174, and *1304.50, Appendix A: Governance and Management Responsibilities*, pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308.*

2. Write the following headings on chart paper, one heading per sheet: *Governing Body, Policy Group, Agency Director*, and *Head Start Director.*

Introduce Activity

1. State that strong governing bodies understand that they are one part of an integrated whole. Emphasize that effective governing bodies understand that to implement and guide high-quality Head Start programs they must work in partnership with policy groups and program leaders.

   Explain that governing bodies are expected to seek opportunities for creative partnerships with the policy group, program leaders, and staff.

   Tell participants that this activity will give them an opportunity to identify how the governing body, policy group, and program

leaders share in the decision-making process for implementing the *Head Start Program Performance Standards*.

Describe Shared Decision-Making

2. Begin with an example of shared decision-making (see *Background Information*). Distribute and discuss *Handout 7: Sample Planning Calendar*.

Discuss Standards

3. Distribute copies of *1304.50, Subpart D-Program Design and Management, Program Governance*, pp. 158–174, and *1304.50, Appendix A: Governance and Management Responsibilities*, pp. 175–177, *Head Start Regulations and Program Guidance for Parts 1304 and 1308* and ask participants to skim the text. Note the four entities listed at the top of the chart: the governing body, the Policy Council or Policy Committee, the Head Start Program director, and the Agency director. Review the definitions given to the letters A, B, C and D (see p. 21, *Module 1*) to determine the governance and management responsibilities for each entity. Explain that although the chart does not include all the requirements, it is still a good tool for reviewing shared decision-making.

   One by one, write the numbers of the following *Standards* on chart paper:

   1. 1304.50(d)(1)(iii)
   2. 1304.50(d)(1)(iv)
   3. 1304.50(d)(1)(I)
   4. 1304.50(d)(1)(vi)
   5. 1304.50(d)(1)(ii)
   6. 1304.50(d)(1)(ix)
   7. 1304.50(d)(1)(x)
   8. 1304.50(g)(1)
   9. 1304.50(h)
   10. 1304.50(d)(1)(vii)
   11. 1304.50(d)(1)(viii)
   12. 1304.50(d)(1)(xi)
   13. 1304.50(f)
   14. 1304.50(g)(1)
   15. 1304.50(g) (2)
   16. 1304.50(d)(2)(v)

   For each *Standard:*

   (1) Ask participants to locate the *Standard* in the text of the *Guidance* and *Appendix A* to *1304.50*, read the information, and determine the responsibilities for the governing body, policy group, Agency director, and Head Start director.

(2) Using a marker, ask each participant to go to the posted sheets of chart paper with the headings *Governing Body, Policy Group, Agency Director,* and *Head Start Director.* Tell them to write how the responsibilities for the assigned *Standard* are carried out in their program by the individual/group identified at the top of the chart paper. (Give a different colored marker to each participant.)

(3) Discuss responses, referring to *1304.50, Subpart D-Program Design and Management, Program Governance,* pp. 158–174, and *1304.50, Appendix A: Governance and Management Responsibilities,* pp. 175–177, *Head Start Regulations* and *Program Guidance for Parts 1304 and 1308* as needed for clarification.

Summarize Responsibilities

4. After everyone's functions have been described, ask participants to review the information on the chart paper and identify action words, phrases, or concepts that capture the general roles and responsibilities of each entity. Record responses on chart paper under the appropriate heading. Examples for each entity appear below.

Action words/phrases/concepts that describe the governing body include:

- *Establishing boundaries*
- *Creating a vision and broad goals*
- *Guiding*
- *Overseeing*
- *Ensuring*
- *Assessing performance*

Action words/phrases/concepts for the Policy Council include:

- *Approving or disapproving*
- *Reviewing*
- *Participating*
- *Advising*
- *Recommending*
- *Asking questions*
- *Planning*
- *Developing*

Action words/phrases/concepts for the Agency director (with respect to Head Start functions) include:

- *Collaborating*
- *Encouraging*
- *Supporting*

- *Supervising*
- *Assessing community needs*
- *Facilitating*
- *Drafting*
- *Proposing*

Action words/phrases/concepts for the Head Start director include:

- *Planning*
- *Managing*
- *Directing*
- *Implementing*
- *Monitoring*
- *Training and coaching*
- *Evaluating*
- *Drafting*
- *Proposing*

Ask participants to review the action words/phrases/concepts and identify shared responsibilities of the governing body, policy group, and agency leadership.

Using the *Background Information,* discuss examples of when the governing body acts as a mentor, coach, partner, and peer to the policy group.

Conclude

5. Refer to any new insights that participants had during the exercise. Conclude by saying that although the chart does not include all the requirements, it is still a good reference tool for understanding shared decision-making.

Next Steps: Ideas to Extend Practice

Participants working independently or with other staff can build on the skills developed in this Guide by completing the activities below.

- **Redesign the system for communicating information**

Effective governance depends on good decision-making. In Head Start, governing bodies depend on concise, clear, and relevant information to make sound decisions. To enhance information flow to the governing body, it is important that program leaders, staff, and policy groups evaluate how they keep board members informed.

1. Ask policy group members, the Agency director, and the Head Start director to track how they communicate with the governing body. Summarize the findings.

2. Appoint a facilitator to conduct meetings with the Agency director, the Head Start director, and members of the policy group and governing body. Focus the meetings on working together to design and implement an improved system for communicating with the governing body and policy group. Begin the first meeting by reviewing the data collected on how the policy group, Agency director, and Head Start director communicate with the governing body. Next, ask participants to discuss the following questions:

   - *What types of information do the governing body and policy group need to do their jobs effectively?*
   - *How frequently do we need to provide this information?*
   - *What format could we use to provide this information?*

3. Develop guidelines for communicating information to the governing body. For example, consider the purpose of the communication, the appropriate time for communicating specific information, how the information relates to the responsibilities of the governing body, and how format and visuals can be used to clarify the information. An example of guidelines to use when communicating information to a governing body can be found on the National Center for Nonprofit Boards' Web site.[1]

[1] www.ncnb.org/html/faq.html, *Frequently Asked Questions About Nonprofit Governance: How do we keep board members informed?* (Washington, DC: National Center for Nonprofit Boards, 1998).

- **Assess extent of shared decision-making activities**

  Arrange a data collection session with the Agency director, the Head Start director, and members of the governing body and policy group to assess the extent to which shared decision-making is used in the organization.

  1. Begin by defining how the organization can comply with the *Head Start Program Performance Standards* to implement shared decision-making.

  2. Facilitate a discussion to answer the following questions:

     - *What are we doing to implement shared decision-making?*
     - *What challenges are we facing?*
     - *What can we do to overcome these challenges?*

  3. Arrange regular follow-up meetings to evaluate how successfully the challenges are being addressed. Use the follow-up meetings to develop new or improved strategies to address the challenges.

Handout 6: Wellspring Head Start Scenario

Wellspring Family Center is a community nonprofit agency that provides early care and education for children from birth through school. The program has two centers that are open 11 hours a day, 5 days a week, and several family child care homes that offer night care, weekend care, and weekday child care. The center has received funding from United Way and state child care and development block grant funds. The fees charged to parents are on a sliding scale.

Wellspring's Head Start program is operated by the County Department of Community Services. The grantee operates 10 centers and three delegate agencies. All the Head Start services in the county are center-based, and the centers are typically open from 8 a.m. to 5 p.m., Monday through Friday.

The Head Start grantee has recently completed a Community Assessment (CA) and is now analyzing the data. More parents are working and in training for work than ever before, and the parents need child care for extended hours (beyond the traditional 8 a.m. to 5 p.m.). They need night care and weekend care to work at the hospital and electronics plant that hire many welfare-to-work employees. The CA also indicates that many eligible families are not currently enrolled in Head Start but live in Wellspring's service area.

The Head Start director is aware that there will be money available for expansion this year. If the county decides to apply, the grant application is due in Washington in about 6 months.

1. **Discuss the roles and responsibilities of the Head Start director, the Agency director, the policy group, and the county commissioners (governing body) in deciding how to proceed.**

2. **What information should be considered before deciding whether to ask Wellspring to become a delegate?**

3. **Based on the information identified in Question 2, should the Head Start grantee consider proposing the Wellspring Family Center as a delegate agency in its request for expansion funding? Explain your answer.**

4. **If Wellspring becomes a delegate, which entities (governing body, policy group, Agency director, Head Start director) have a role is establishing the new relationship? What is the role of each entity?**

Handout 7: Sample Planning Calendar

	October	November	December	January	February	March	April
Governing Body	Assures a procedure for planning is established.	Approves/ disapproves workplan.	Receives status report on action plan for doing Community Assessment (CA) from planning team. Approves/ disapproves CA.	Receives information from planning team about problems, issues, and resources in the community to prepare for goal setting (CA findings and recommendations).	Receives recommendations on goals; approves/ disapproves; receives quarterly fiscal report; audits and assures corrective action.	Participates in program self-assessment.	Receives objectives. Receives proposed budget changes.
Policy Council/ Policy Committee	Approves/ disapproves procedure for planning.	Approves/ disapproves workplan.	Receives status on CA from planning team. Approves/ disapproves self-assessment procedure.	Receives information from planning team about problems, issues, and resources in the community to prepare for goal setting (CA findings and recommendations).	After planning team recommends goals and recruitment plan, approves/ disapproves. Fiscal committee provides monthly status of funds.	Participates in program self-assessment.	Receives objectives from planning team. Receives proposed budget changes from fiscal committee, including administrative services for grantee.
Program Staff	Provide information and support to planning team to propose a workplan for how the critical planning steps will occur.	Propose workplan to governing body and Policy Council/ Policy Committee (in accord with *Head Start Program Performance Standards* (HSPPS) 1305.3, 1304.51, 1305.50). Propose procedure for self-assessment.	Initiate CA and collect information from internal and external sources identified in procedure. Recommend plan for self-assessment.	Provide initial information to Policy Council/ Policy Committee & Board Planning Committees about problems, issues, and resources in the community and agency program to prepare for goal setting.	Work with planning team(s) to draft/ propose goals. Begin draft of objectives. Complete draft of recruitment plan. Provide fiscal information—status of funds. Propose plan for correcting audit issues.	Provide staff and logistical support to self-assessment and compile report.	Provide proposed budget changes based on status of funds. Recommend administrative service costs to Policy Council/ Policy Committee finance committee.

Continuing Professional Development

The following activities can be used by Head Start staff throughout the year to complement and build on the skills developed in this Guide.

Professional Organizations

- Join a professional organization that deals with program governance and gives you an opportunity to associate with other individuals who serve on boards.

  These organizations offer a variety of services, including training programs, publications, reports, databases on specific topics, newsletters, and research libraries. Many of the organizations have Web sites. Review the descriptions of the organizations described in the *Resources* section of this Guide for examples.

Periodicals

- Subscribe to a magazine that focuses on topics important to individuals involved in program governance.

  Nonprofit Times covers current events and trends on critical topics that are important to individuals involved in leading and managing nonprofit organizations. *Across the Board* covers information and insights on matters of interest to executives and the business community. See the *Resources* section of this Guide for information on these periodicals and other publications.

Self-Study Activity

- Search the Internet for sites that contain data to help you deal with the program governance issues that your organization is facing.

  To begin your search, note the Web sites in the *Resources* section of this guide. Prepare a brief summary of the information you collect and the Web sites that you find helpful to distribute to the members of the governing body and policy group, the Agency director, and the Head Start director.

Speaker

- Invite a professor or researcher from a local college or university with expertise on governing boards to meet with your governing body, policy group, Agency director, and Head Start director.

  Distribute information on the topic to be discussed in advance so attendees can prepare for the presentation. Before the meeting, brief the speaker about your organization. Arrange to include a question-and-answer period during the presentation.

Books, Handbooks, and Pamphlets

Principles of Governance

Andringa, Robert C., and Ted E. Engstom. *Nonprofit Board Answer Book*. Washington, DC: National Center for Nonprofit Boards, 1998.

The authors provide examples of real-life experiences, both successes and failures, as well as time-tested advice on typical situations that affect nonprofit boards. This book is written for both experienced and new nonprofit leaders. It is designed in an easy-to-follow format with questions and answers. Some of the topics include getting your board off to a strong start, defining roles, getting things done, and assessing performance. Worksheets are included.

Carver, John. *Boards That Make a Difference: A New Design for Leadership in Nonprofit and Public Organizations*. San Francisco, CA: Jossey-Bass Inc., 1997.

In this book, the author enhances his policy governance model with policy samples and a discussion of policy development. The author provides a new approach to board job design, board-staff relationships, the chief executive's role, performance monitoring, and board-management relationships. Sections include a new vision for governing boards, policy as a leadership tool, designing policies that make a difference, focusing on results, the board's responsibility for itself, making meetings work, and redefining excellence in governance.

Carver, John. *The Carver Guide Series on Effective Board Governance*. San Francisco, CA: Jossey-Bass, Inc., 1997.

This collection consists of twelve, 24-page pamphlets that summarize the author's principles of program governance contained in his other comprehensive books on these topics (listed elsewhere in this section). Each pamphlet may be purchased separately. Titles are: *Basic Principles of Policy Governance; Your Roles and Responsibilities As A Board Member; Three Steps To Fiduciary Responsibility; The Chairperson's Role As Servant-Leader To The Board; Planning Better Board Meetings; Creating A Mission That Makes A Difference; Board Assessment of the CEO; Board Self-Assessment; Diversity Meaningful In The Boardroom; Strategies For Board Leadership;, Board Members As Fundraisers, Advisers, And Lobbyists;* and *The CEO Role Under Policy Governance*.

Resources

Carver, John, and Miriam M. Carver. *Basic Principles of Policy Governance*. San Francisco, CA: Jossey-Bass Inc., 1996.

In this book, the authors have developed a model of governance that acts as a framework for governing boards to use in organizing their thoughts, activities, structures, and relationships. The authors present ten basic principles of policy governance with concise descriptions, examples, analogies, and easy-to-follow instructions on how to achieve them. Principles include: "The board speaks with one voice or not at all," "Board decisions should be policy decisions," "A board should define and delegate rather than react and ratify," "A board should forge a linkage with management that is empowering and safe," and "CEO performance should be monitored against policy criteria."

Carver, John, and Miriam M. Carver. *Reinventing Your Board: A Step-by-Step Guide to Implementing Policy Governance*. San Francisco, CA: Jossey-Bass, Inc., 1997.

The authors provide hands-on, step-by-step guidelines for implementing their policy governance model. Advice is provided on how to develop useful policies and how to offer practical advice for various other tasks such as setting agendas, monitoring CEO performance, or defining the board's role. This book includes sample policies, exercises, and hands-on activities and materials.

Chait, Richard P., Thomas P. Holland, and Barbara E. Taylor. *Improving the Performance of Governing Boards*. Phoenix, AZ: Oryx Press Series on Higher Education, 1997.

This book focuses on boards of colleges and universities, and other nonprofit organizations. The authors identify six competencies that differentiate strong governing boards from weak ones. They also address the topics of effective trusteeship, board development, board cohesion, trustee education, and improvement of board processes. Effective ways of responding to resistance toward board development efforts are also discussed. Sections include "Swimming against the tide," "Initiating and sustaining board development," "Transforming trustees into a board," "Getting smart: the key to governing smart," "Doing business better as a board," and "Understanding and responding to resistance."

Charan, Ram. *Boards At Work: How Corporate Boards Create Competitive Advantage*. San Francisco, CA: Jossey-Bass Inc., 1996.

The author describes how corporate boards—including those of major corporations—transcended their traditional roles and successfully

influenced their organizations. He emphasizes (using actual case studies), how to make open, critical discussion part of the way board members communicate. Specific topics covered include board structure, information needs, and continuous improvement processes. Two evaluation instruments are included: a tool for a board to use to identify areas to improve and a peer-review tool to assess the effectiveness of individual board members.

Houle, Cyril O. *Governing Boards: Their Nature and Nurture.* Publication of the National Center for Nonprofit Boards. San Francisco, CA: Jossey-Bass Inc., 1997.

Houle reviews the basic roles and responsibilities of private, nonprofit, and public boards. He provides guidelines and describes the environment needed to accomplish the ongoing work that challenges boards. Topics include the human potential of the board, structure of the board, executives and staff, board operations, and the board's external relationships.

Ingram, Richard T. *Ten Basic Responsibilities of Nonprofit Boards.* Washington, DC: National Center for Nonprofit Boards, 1996.

This booklet describes the evolution of nonprofit governance and its changing responsibilities. It covers the fundamental responsibilities of boards and reflects the changing focus of the nonprofit sector and the new issues and challenges that face the nonprofit organization. An appendix lists the individual roles and responsibilities of each board member.

Rutledge, Jennifer M. *Building Board Diversity.* Washington, DC: National Center for Nonprofit Boards, 1994.

This book emphasizes the extent to which all board members—not just those who bring diversity to the volunteer leadership—must feel a part of the group. All members want others to acknowledge their ideas and contributions to the organization. The author presents various assessments that identify strong board candidates who have the background, characteristics, and skills to help lead an organization. It also focuses on the types of board practices that are essential to successful identification, recruitment, and orientation of board members. Rutledge encourages both board and senior staff to look at board members with an open mind, note how an inclusive board can contribute to an organization's effectiveness, and recognize the full range of abilities and expertise needed. The *Appendix* explains the research conducted before publication.

Stoesz, Edgar, and Chester Raber. ***Doing Good better! How to be an Effective Board Member of a Nonprofit Organization.*** **Intercourse, PA: Good Books, 1997.**

The authors address the ideal relationship between a nonprofit organization and its board. They describe situations that may threaten that relationship and suggest strategies to overcome common difficulties. Exhibits on a variety of topics are included such as a checklist on orientation of board members, a job description for the board chairperson, a performance appraisal of the chief executive officer, a general outline for board committee accountability, and an annual board self-assessment.

Ward, John L. ***Creating Effective Boards for Private Enterprises.*** **National Association of Corporate Directors, Washington, DC: 1991.**

This publication describes guidelines for developing and managing a board. Topics include structuring the board; conducting lively meetings; and maintaining open and honest communication among owners, directors, and other stakeholders. The audience is intended to be boards of small to midsize family and private businesses.

Wolf, Thomas. ***Managing a Nonprofit Organization.*** **New York, NY: Prentice Hall Press, 1990.**

This book is a basic manual on managing nonprofit organizations written for all staff members and administrators. The author discusses the board members' legal responsibilities and procedures. Wolf explains the importance of the board's role in accomplishing the organization's mission. Theory as well as practical tips and suggestions are included, with several examples and anecdotes. Chapters include "Understanding nonprofit organizations," "The board," "Assembling the work force," "Personnel policy," "Marketing," "Financial management," "Financial statements and fiscal procedures," "Fund raising," "Planning," and "Managing information." Checklists are included.

Basic Communication Skills

Decker, Bert. ***The Art of Communicating.*** **Menlo Park, CA: Crisp Publications, Inc., 1996.**

This book provides a series of strategies for mastering face-to-face communication during meetings and sales calls, and in business relationships. The author presents a communication model to demonstrate the roles of posture, gesture, dress, voice, and humor. The final

section of the book discusses new theories on how the brain filters and processes information.

Mattar, Edward P. III, and Michael Ball, eds. *Handbook For Corporate Directors.* New York, NY: McGraw-Hill, 1985.

This handbook is arranged into fifteen sections covering the issues, procedures, responsibilities, and concerns that boards encounter. More than sixty presidents, professors, lawyers, and individuals who have experience serving on boards have written the chapters. Subjects covered include corporate governance and the corporate director, officers of the board, board organization and operation, committees, board members, specialized boards, and social issues.

Zander, Alvin. *Making Boards Effective: The Dynamics of Nonprofit Governing Boards.* San Francisco, CA: Jossey-Bass Inc., 1993.

This book provides a basis for understanding the interpersonal dynamics of governing boards—why and how they function the way they do—and how their processes affect the quality of their performance. Zander explains that by understanding and recognizing the cause of behaviors and actions in the board room, members can enhance the efficiency and rewards of their work. Chapters include "Common purpose: aligning mission, goals and motives," "Core work: solving difficult problems and making good decisions," "Key strengths, active participation, shared leadership, and clear standards," "Grass-roots support," "Staying on course," "Powers of influence," "Groups in conflict," "Understanding productive and unproductive outcomes," "Conflict planning," and "Board performance reviews."

Reaching Consensus

Fisher, Roger, and William Ury. *Getting to Yes: Negotiating Agreement Without Giving In.* New York, NY: Penguin Books USA, 1991.

This book uses case histories to present strategies for reaching mutually acceptable agreements for conflict situations. The authors provide practical guidelines that tell the reader how to negotiate in an open and honest manner and how to find creative ways to mutually satisfy everyone's shared interests. The practical suggestions in this book are valuable for long-term and short-term decisions as well as in negotiating personal and professional disputes.

Resources

Hambrick, Donald C., David A. Nadler, and Michael L. Tushman. *Navigating Change: How CEOs, Top Teams, and Boards Steer Transformation.* Boston, MA: Harvard Business School Press, 1997.

This volume is a collection of the insights and ideas from chief executive officers (CEOs) and academic experts on institutional leadership and governance. It explores cutting-edge and pragmatic ideas that provide interesting perspectives for members of governing boards. Contributors include Paul Allaire, CEO of Xerox, and James Houghton, CEO of Corning.

Lawson, James R., and Steven Saint. *Rules for Reaching Consensus. A Modern Approach to Decision Making.* San Francisco, CA: Jossey-Bass Inc., 1994.

One of the big challenges for leaders in organizations today is to facilitate collective decision-making among diverse groups. The authors explain how leaders and members of decision-making bodies can follow a step-by-step process to reach consensus in meetings.

Scott, Jon, and Eileen Flanigan. *Achieving Consensus.* Menlo Park, CA: Crisp Publications, Inc., 1996.

This book provides guidelines for groups to use in successfully working together to make and implement decisions. The author offers a practical approach to consensus building by explaining the concept of consensus, why it is important, and how it fits with other decision-making styles. He also explores how to reach consensus.

Winer, Michael, and Karen Ray. *Collaboration Handbook: Creating, Sustaining, and Enjoying the Journey,* revised and updated. St. Paul, MN: Amherst H. Wilder Foundation, 1996.

This book helps the reader create, maintain, and enjoy new ways of working together. The use of we, our, and us is emphasized to reinforce the importance of each member's role during successful collaboration. Suggested guidelines are provided for embracing the complexities and ambiguities of collaboration, including long-term thinking and conflict management. Stages of collaboration are defined, focusing on the process as a continuous, changing journey. In Part I the authors tell a story to set the stage and demonstrate the challenges of collaboration. Part II compares collaboration to a journey. Part III outlines, step-by-step, the four stages of collaboration. Part IV contains appendices covering the research completed for the book, a resource section, and forms for documenting the collaboration journey.

Mentoring

Bell, Chip. *Managers as Mentors: Building Partnerships for Learning.* San Francisco, CA: Berrett-Koehler Publications, 1996.

This book focuses on the premise that effective mentoring is a two-way relationship. Therefore, the partnerships that develop between the mentor and the individual being mentored are emphasized. The author describes teaching through consultation and affection instead of constriction and assessment. He demonstrates that the learning process is continuous and changing. The book is written in a how-to format with practical theory and guidelines, ideas, and suggestions to try.

Shea, Gordon F. *Mentoring: Helping Employees Reach Their Full Potential.* New York, NY: American Management Association Membership Publications Division, 1994.

Shea defines mentoring as a continuous process and explores how mentoring can benefit both the organization and the employee. The content focuses on mentoring styles. Two training programs are described. The formal training program matches inside mentors with newcomers to bring them up to speed as quickly as possible. The informal training provides ongoing mentoring for any employee as needs and expectations change. Each section of the book includes tools, ideas, suggestions and resources.

Recruiting and Motivating

Albert, Sheila. *Hiring the Chief Executive.* Washington, DC: National Center for Nonprofit Boards, 1993.

This booklet provides a model for nonprofit boards to use to hire a chief executive. The model emphasizes the importance of conducting a thorough and careful search. Various tools can be adapted to meet the needs of most nonprofit organizations. These tools and guidelines incorporate the best ideas from the field and include sample questionnaires, rating sheets, and interview questions. Sections discuss planning, getting started, deciding priorities, the screening process, interviewing and final selection, and getting off to a good start.

Burke, Mary Ann, and Carl Liljenstolpe. *Recruiting Volunteers: A Guide for Non-Profits.* Menlo Park, CA: Crisp Publications, Inc., 1992.

A model for developing an effective volunteer program is outlined in a easy-to-read, step-by-step format. The authors assist the reader in defining the value of volunteers, evaluating their roles, and developing programs to ensure their effective use. This book shows how to empower volunteers to most effectively meet the needs of their organization. Four sections cover the value of volunteers, strategic

plans, how to define and recruit volunteers, and volunteer assignment and development. Each section includes self-paced activities, sample worksheets, and forms. This book is for nonprofit organizations that rely on volunteers to accomplish their goals and for community volunteer organizations such as schools and civic groups.

Nelson, Judith Grummon. *Six Keys to Recruiting, Orienting, and Involving Nonprofit Board Members; A Guide to Building Your Board.* Washington, DC: National Center for Nonprofit Boards, 1997.

This booklet provides tools, forms, and suggestions that nonprofit organizations can use to build a strong board. The materials can also serve as a primer for anyone who is considering starting a new nonprofit organization and wants to understand the process of organizing, strengthening, and regenerating a board.

Articles

Byrne, John A., Ronald Grover, and Richard A. Melcher. "The Best and Worst Boards." *Business Week.* December 8, 1997.

This article discusses *Business Week's* second annual analysis of the state of corporate governance. This article focuses on the characteristics and actions that take place within a company to create an active, dynamic, and diverse board. The authors explain that active boards provide a strong oversight to ensure that strategic plans are carried out and that managers are evaluated against high performance standards.

Lorsch, Jay. "Should Directors Grade Themselves?" *Across the Board.* May 1997.

The author believes it is important to assess the function of boards as well as the performance of individual directors. Effective boards are not trapped in routines that they have never stopped to analyze. Instead, individual members discuss observations of performance and seek consensus on improvements.

Marinelli, Frank. "Encouraging Visionary Board Leadership." *Nonprofit World.* Vol. 16, No. 1, July-August, 1998.

Marinelli compares the visionary leadership qualities of board leaders with barriers that prohibit visionary thinking. He introduces and discusses a new, visionary profile of board effectiveness and describes the eight characteristics of the visionary board leader.

The author also describes barriers to board leadership and their solutions. Strategies for moving toward visionary board leadership are also outlined and discussed, and suggested activities to help nurture visionary leadership are included.

Taylor, Barbara E., Richard P. Chait, and Thomas P. Holland. "New Work of the Nonprofit Board." *Harvard Business Review*. Vol. 74, No. 5, September 1996.

The authors believe that board members can avoid being a collection of high-powered people engaged in low-level activities. The article gives examples of boards that have successfully embraced the *new work* and, consequently, advanced their organizations' missions. When boards demonstrate that they can change effectively, it encourages staff to improve their wo

Videotapes

National Center for Nonprofit Boards. *Blueprint for Success: A Guide to Strategic Planning for Nonprofit Board Members*. Take Aim Production, Inc., 1997.

This 25-minute video, narrated by Maria Shriver, is designed to increase board and staff understanding of the planning process. Board members from two organizations discuss the value of planning, steps taken, and results achieved using two different approaches. The American Red Cross describes a staff-driven process and the Levine School of Music uses a planning style with extensive board involvement. Board members speak from their own experiences and insights as they discuss introductions to the approaches, the organizational benefits of planning, obstacles to planning and tips to overcome them, the advantages of board involvement, and steps in the planning process. To order, contact:

NCNB
2000 L Street, NW
Suite 510
Washington, DC 20036–4907
Cost: $62.00
Telephone: (800) 883–6262

National Center for Nonprofit Boards. *Building Boards that Work*. National Center for Nonprofit Boards, 1996.

Building Boards that Work is a two-part workshop that includes a workbook and 68-minute video. This workshop explores how an organization builds the board it needs—one committed to the health and success of the nonprofit organization. Part one focuses on the elements

of a strong board such as a clear sense of roles and responsibilities, strategies for recruiting, and a commitment to orientation and ongoing education. Part two concentrates on the development of working partnerships.

The video targets board members who are dealing with changes in leadership, new members who need an orientation to board responsibilities, board chairs, and executive directors or other staff members who work closely with boards. To order, contact:

NCNB
2000 I Street, NW
Suite 510
Washington, DC 20036-4907
Cost: $29.00
Telephone: (800) 883-6262

U.S. Department of Health and Human Services. *Linking Our Voices*. Educational Services, Inc., Video Program, 1996.

This video-based training program is designed to strengthen the decision-making role of parents and community representatives as members of Policy Councils, Policy Committees, and Parent Committees. In addition to a 22-minute video, it includes print materials for a facilitator, participant handouts, and a set of transparencies. The workshops are designed to follow the video and are based on true stories from Policy Council members. To order, contact:

Head Start Publications Management Center
P. O. Box 26417
Alexandria, VA 22314-0417
Telephone: (202) 737-1030
Fax: (703) 683-5769

Organizations

Child Welfare League of America (CWLA)

CWLA is an association of approximately 1,000 public and private nonprofit agencies that assist more than 2.5 million abused and neglected children and their families with a range of services. Advocacy activities focus on substance abuse, juvenile justice, independent living, and child care quality and safety. CWLA provides a speakers' bureau and a contact person for information on every service area, and holds annual national and regional conferences on topics related to child welfare. Programs range from half-day meetings to three-day training sessions and executive retreats. Publications for children, parents, and professionals are also available from CWLA.

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Child Welfare League of America
440 First Street, NW, Third Floor
Washington, DC 20001-2085
Telephone: (202) 638-2952
www.cwla.org

The Conference Board

The Conference Board is a nonprofit, non-advocacy research organization for business executives. It sponsors conferences throughout the country on topics such as corporate governance, customer management and relationships, corporate communications, general management and operations, human resources, information technology, and performance excellence. The Conference Board compiles its research, conference and council findings in a variety of publications. These include reports on the outlook of employment, management issues, and the extent to which businesses are implementing work-family programs; a monthly publication on business cycle indicators; a monthly press release of leading economic indicators; and a magazine, *Across the Board*, published 10 times a year and focusing on information of interest to executives and the business community.

The Conference Board, Inc.
845 Third Avenue
New York, New York 10022-6679
Telephone: (212) 759-0900
www.conference-board.org

Foundation Center

The Foundation Center is a leading source of information on foundations serving grant seekers, grant makers, researchers, policymakers, and the general public. Its purpose is to foster public understanding of the foundation field. It collects, maintains, and provides a database of information on foundations and corporate grant making, published directories, and research reports. It provides access to information on foundations and the wider nonprofit sector through Web sites, libraries, and national cooperative collections.

A list of free and fee-based workshops is also provided, as well as the latest press releases.

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Foundation Center
79 Fifth Avenue
New York, NY 10003
Telephone: (212) 620-4230

1001 Connecticut Avenue, NW
Suite 938
Washington, DC 20036
Telephone: (202) 331-1400
www.fdncenter.org

Independent Sector

Independent Sector is a combination of corporate, foundation, and voluntary organizations with a national focus on nonprofit and voluntary groups and their activities. The Independent Sector provides resources for members that include books, reports, data research results, papers, studies, and other publications related to nonprofit and volunteer organizations.

Independent Sector
1828 L Street, NW
Washington, DC 20036
Telephone: (202) 223-8100

National Association of Corporate Directors (NACD)

NACD is committed to promoting conscientious corporate governance and provides its members with an opportunity to interact with their peers on other corporate boards. NACD publishes a monthly newsletter, the *Director's Monthly*, offers continuing education programs, and compiles and distributes reports on current governance concerns. Publications include books and handbooks for directors, a series of brief overviews on current governance topics, and a collection of articles on such topics as private company boards, audit committees, and ethics.

NACD
1701 L Street, NW
Suite 560
Washington, DC 20036
Telephone: (202) 775-0509
www.nacdonline.org

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National Center for Nonprofit Boards (NCNB)

NCNB provides information and resources to develop and improve nonprofit governance. NCNB offers board development programs, satellite workshops, traditional classroom workshops, programs for practitioners, National Leadership Forums, conferences, and a Board Information Center. Training programs are offered to board members, chief executives, executive directors, senior staff members, and others interested in the nonprofit sector.

NCNB's published materials are developed from the field and reflect a variety of perspectives from volunteers, staff, researchers, and consultants. The materials cover all aspects of nonprofit governance and board leadership.

NCNB
2000 L Street, NW
Suite 510
Washington, DC 20077-6333
Telephone: (800) 883-6262
Fax: (800) 342-5709
www.ncnb.org

Philanthropic Advisory Service

The Philanthropic Advisory Service is a part of the Council of the Better Business Bureaus. It collects and provides information on nonprofit programs, governance, fundraising, and the finances of nonprofit organizations. This service also has access to reports on local charities compiled by the national network of Better Business Bureaus.

Philanthropic Advisory Service
Council of Better Business Bureaus
4200 Wilson Boulevard
Suite 800
Arlington, VA 22203-1804
Telephone: (703) 276-0100
Fax: (703) 525-8277
www.bbb.org

Society for Nonprofit Organizations (SNPO)

SNPO is the result of a partnership among The Society, the University of Wisconsin-Extension, and Murphy Communications, Inc. SNPO serves as an international resource for board members, paid staff, and volunteers who lead nonprofit organizations around the world.

Resources

SNPO publishes a bi-monthly magazine on relevant nonprofit issues and a monthly report on funding opportunities for nonprofits. SNPO sells books, videocassettes, and audiocassettes.

SNPO
6314 Odana Road
Suite 1
Madison, WI 53719-1141
Telephone: (800) 424-7367
Fax: (608) 274-9978
danenet.wicip.org/snpo/index.html

Periodicals

Across the Board **(New York, NY: The Conference Board).**

Across the Board, published ten times a year by The Conference Board, offers information and insights on matters of interest to executives and the business community. Topics have included the Internet, management practices, and social issues. The lead article and table of contents of the latest issue can be found on The Conference Board's Web site.

The Conference Board, Inc.
845 Third Avenue
New York, NY 10022-6679
Telephone: (212) 759-0900
www.conference-board.org

Board Member **(Washington, DC: National Center for Nonprofit Boards Publication).**

This monthly periodical typically includes a leader's digest, an interview, a case study, a main feature, and member-to-member information.

NCNB
Member to Member
2000 L Street, NW
Suite 510
Washington, DC 20036-4907
Telephone: (800) 883-6262

Nonprofit Times **(Cedar Knolls, NJ: NonProfit Times Publishing Group).**

Nonprofit Times, a business publication for executive managers of nonprofit organizations, contains current events and trends on the most critical topics in the nonprofit sector.

It includes practical information on the business of managing a nonprofit organization.

Nonprofit Times
240 Cedar Knolls Road
Suite 318
Cedar Knolls, NJ 07927
Telephone: (973) 734-1700
www.nptimes.com/main/subscribe.html

Nonprofit World **(Madison, WI: Society for Nonprofit Organizations).**

This national publication focuses on leadership, management, and governance for the nonprofit sector. Readers will find practical, timely articles on a wide variety of subjects for staff members of all levels.

Society for Nonprofit Organizations
Publications
6314 Odana Road
Suite 1
Madison, WI 53719-1141
Telephone: (800) 424-7367
danenet.wicip.org/snpo/newpage6.htm

Training Workshop

Programs for Practitioners. **Washington, DC: National Center for Nonprofit Boards.**

NCNB conducts two workshops for nonprofit practitioners, consultants, local management assistance providers, and others who work with the nonprofit sector. The two courses are *Critical Components of Effective Governance* and *Self-Assessment for Governing Boards*. The training provides opportunities for peers to work together, share information about boards and board development, and learn from collective successes and failures. Each course runs for 3 days and participants receive handouts, case studies, and other tools to use in their own work in addition to selected governance resources.

Resources

NCNB
Education Department
2000 L Street, NW
Suite 510
Washington, DC 20036–4907
Telephone: (800) 883–6262
www.ncnb.org/html/program_for_practioners.html

Web Sites

Excellence In Nonprofit Leadership and Management
www.pbs.org/adultlearning/als/nonprofit/

This Web site is an online, certificate series program from The Learning Institute for Nonprofit Organizations through the Public Broadcasting Service (PBS). This national certificate program, accredited by the University of Wisconsin, is delivered directly to communities via satellite. Viewers at downlink sites meet local colleagues and interact via phone and fax. The complete package includes eight sessions. Each session is a live, 2-hour satellite feed plus an hour of local learning activities led by an onsite facilitator. All outside satellite programs run from 2–4 p.m. Eastern time.

Learning Institute for Nonprofit Organizations
www.uwex.edu/li/index.html

This Web site provides learning experiences for the nonprofit sector. The Institute distributes programs, audiocassettes, videocassettes, CD-ROMS, and printed online materials.

Learning Institute Suggested Readings From Nonprofit World
www.uwex.edu/li/readings.html

This Web site lists suggested readings for satellite programs offered by the Learning Institute for Nonprofit Organizations. This large collection of articles may be valuable to anyone who is a member of a nonprofit organization. Articles are available on topics such as volunteer involvement, strategic alliances, strategic planning, and board development.

World's Leading On-line Nonprofit Bookstore
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This nonprofit Web site is affiliated with Barnes and Noble. Searches can be done by keyword, title, or author. Some suggested nonprofit topics to search include boards, foundations, fundraising, nonprofit management, volunteers, and how-to books.

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